

DOE Supplemental Instructions for OMB Section 1512 Reporting – For Grant and Loan Recipients

Quarterly reporting through FederalReporting.gov

April 2010



April 2010 Reporting Timeline



Date	Action
Ongoing	Registration open for FederalReporting.gov. Early registration is encouraged.
April 1, 2010	Reporting Period Begins
April 16, 2010	Reporting Period Ends – No new reports can be entered after 11:59 PM PDT on this date. NOTE: Reporting deadline was extended.
April 17, 2010	Prime Recipient Review begins– Only corrections to existing reports can be made.
April 19, 2010	Prime Recipient Review ends– No updates may be made after 11:59 PM PDT on this date without DOE Reviewer action.
April 20, 2010	Federal review of data begins –Recipients may be contacted to answer questions about the reports and/or be asked to make corrections. Data can be corrected only if unlocked by Agencies.
April 29, 2010	Agencies must complete review status and comments. No updates may be made after 11:59 PM PDT on this date.
April 30, 2010	Reports published on www.Recovery.gov



Overall Reporting Guidance

- All Prime Grant and Loan Recipients whose award was signed by DOE on or before March 31, 2010 must file a report in FederalReporting.gov by April 16, 2010.
- Reporting continues quarterly and is cumulative with the exception of jobs.
- OMB reporting requirements through FederalReporting.gov do NOT exempt a recipient from DOE reporting requirements or any other reporting requirements. Questions concerning program specific reporting requirements should be directed to your contracting officer.
- Program offices may offer supplemental guidance.
- Information on using the “Copy Forward” and “Change Key” functionality are at the end of this presentation.
- Any updated guidance from the previous reporting period is highlighted in yellow with a textured background.
- This guidance is subject to change in future quarters as OMB issues new or clarifying guidance. We will notify all of DOE's ARRA recipients of any changes.

Choose One of Three Methods to Report through FederalReporting.gov



Excel spreadsheet

- Spreadsheet is available on FederalReporting.gov
- Form can be downloaded, completed by the recipient, and then uploaded
- Validation tool available

Custom software system extract in XML

- Recipients with sufficient technical experience may choose to submit a properly formatted Extensible Markup Language (XML) file for their report submission
- XML file can be downloaded, completed by the recipient, and then uploaded

Online Form

- Form allows recipient to complete reporting online through FederalReporting.gov

The screenshot shows the FederalReporting.gov homepage. At the top, there is a navigation menu with links for Home, About, Downloads, FAQ, and Help. Below the navigation, there are three main sections: 'Log In' with fields for User ID and Password, a 'Login' button, and a link for 'I forgot my password'; 'Not Registered?' with a 'Register Now' button; and 'Download Templates' with buttons for 'Microsoft Excel' and 'XML Schema'. To the right, there is a list of news items, including 'Reporting has begun', 'Recipient Users', 'Recipient Reporting videos', 'FederalReporting.gov documentation', 'Verify DUNS', and 'FederalReporting.gov Service Desk'. A blue callout box points to the 'Download Templates' section with the text: 'Download the Excel and XML Schema templates from the FederalReporting.gov homepage'.

Login to FederalReporting.gov to begin the online form

The screenshot shows a form titled 'Select Report Type'. Below the title, it says 'Use the options below to choose the type of ARRA report you would like to create.' There is a section labeled 'Report Type' with a sub-section 'Select Report Type'. Under 'Award Type', there are three radio button options: 'Contract', 'Grant', and 'Loan'. The 'Loan' option is selected.

Prime Recipient Fields



Reporting Information

Field Name	Definition/Guidance	Where can I find it?
Award Type	<p>Grant: Award of financial assistance from a Federal agency to a recipient to carry out a public purpose.</p> <p>Loan: A disbursement of funds by the Government to a non-Federal borrower under a contract that requires the repayment of such funds with or without interest.</p>	On award letter and on DOE website, Federal Reporting Recipient Information
Award Number	The award number assigned by the awarding Federal Agency	On award letter and on DOE website, Federal Reporting Recipient Information
Final Report	<p>Select "Y" for Yes IF</p> <ol style="list-style-type: none"> 1. The Award period has ended (Period of Performance) 2. All Recovery funds have been received through draw-down, reimbursement or invoice 3. The project is complete <p>Otherwise Select "N" for No</p>	Determined by recipient

Prime Recipient Fields



Award Recipient Information

Field Name	Definition/Guidance	Where can I find it?
Recipient DUNS Number	The prime recipient organization's nine-digit Data Universal Numbering System (DUNS) number or Central Contractor Registration plus 4 extended DUNS number.	On DOE website, Federal Reporting Recipient Information
Recipient Account Number	Optional for internal Recipient use only	
Recipient Congressional District	Two digit code	Congressional District code can be found at: http://www.govtrack.us/congress/find_yourreps.xpd .

Prime Recipient Fields (continued)



Award Information

Field Name	Definition/Guidance	Where can I find it?
Funding Agency Code	DOE is 8900. Individual program offices may designate specific office codes for recipients to use.	8900 or code provided in program specific guidance
Awarding Agency Code	DOE is 8900. Individual program offices may designate specific office codes for recipients to use.	8900 or code provided in program specific guidance
Award Date	Date (month, day, year) that the award was signed.	On award letter and on DOE website, Federal Reporting Recipient Information
Amount of Award	<p>Grants: The total amount of Federal dollars on the award (total face value of award)</p> <p>Cooperative Agreements :The DOE share of the face value of the Recovery Act award</p> <p>Loans: The total amount of the loan obligated by the Federal Agency. This is the face value of the loan.</p>	On award letter and on DOE website, Federal Reporting Recipient Information
CFDA Number	Number associated with the published description of Federal assistance program in the Catalog of Federal Domestic Assistance	On DOE website, Federal Reporting Recipient Information
Program Source (TAS)	Agency Treasury Account Symbol	On DOE website, Federal Reporting Recipient Information

For more information, contact DOE at: <https://recoveryclearinghouse.energy.gov> or 1-888-363-7289
or go to: <http://www.FederalReporting.gov>

Prime Recipient Fields (continued)



Award Information (continued)

Field Name	Definition/Guidance	Where can I find it?
Sub Account for Program Source (TAS)	This code is not mandatory for DOE	N/A
Total Number of Sub Awards to Individuals	Total number of sub-awards to be distributed to individuals	Recipient systems
Total Amount of Sub Awards to Individuals	Total dollar number of sub-awards to be distributed to individuals	Recipient systems
Total Number of Payments to Vendors less than \$25,000/award	Total number of payments to Vendors less than \$25,000/award	Recipient systems
Total Amount of Payments to Vendors less than \$25,000/award	Total dollar amount of payments to Vendors less than \$25,000/award	Recipient systems
Total Number of Sub Awards less than \$25,000/award	Total number of sub-awards less than \$25,000/award	Recipient systems
Total Amount of Sub Awards less than \$25,000/award	Total dollar amount of sub-awards less than \$25,000/award	Recipient systems
Award Description	A description of the overall purpose and expected outcomes or results of the contract.	Award Letter

Prime Recipient Fields (continued)



Project Information

Field Name	Definition/Guidance	Where can I find it?
Project Name or Project/Program Title	Include name and project identification code	On award letter and on DOE website, Federal Reporting Recipient Information
Project Status	Evaluation of the completion status of the project or activity. <u>Options:</u> 1. Not Started 2. Less than 50% completed 3. Completed 50% or more 4. Fully completed	Determined by recipient
Total Federal Amount ARRA Funds Received/Invoiced	The amount of Recovery Act funds received through ASAP draw-down, reimbursement or invoice. Unpaid invoices are not to be included.	Recipient systems
Number of Jobs	The total number of jobs created or retained at the Prime and Sub-Recipient levels for the reporting quarter.	Recipient systems – See example of calculation on next slide
Description of Jobs created	The labor categories, job titles, and/or general descriptions of work to be performed in newly created jobs. If a Recipient is using an approved method to calculate job numbers, provide a description and explanation of that method in this data field.	Recipient systems

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Calculating Jobs – Example #1: Grant or Loan Recipient

Formula

$$\frac{\text{Total Number of Hours Worked and Funded by Recovery Act within Reporting Quarter}}{\text{Quarterly Hours in a Full-Time Schedule}} = \text{NUMBER OF JOBS}$$

Step 1:

Calculate Quarterly Hours in a Full-Time Schedule
(the same denominator should be used for all subsequent quarters)

$$40 \text{ hours in a full-time work week} * 52 \text{ weeks per year} = 2080 \text{ hours per year}$$

$$2080 / 4 \text{ quarters per year} = 520 \text{ quarterly hours}$$

Note: For industries with a different standard work week, use the above formula substituting your standard work week hours.

Step 2:

Collect the total number of hours worked and funded within the quarter. For this example, assume the hours worked in the quarter were: →

Employee	Hours Worked Previous Reporting Quarter	Hours Worked Current Reporting Quarter
Prime Employee 1	250	520
Prime Employee 2	0	260
Sub Employee A	170	100
Sub Employee B	<u>300</u>	<u>520</u>
Total	720	1400

Step 3:

Calculate the FTEs Created or Retained for the Quarter using the above formula

Calculation:

$$1400 \text{ (hours worked)} / 520 \text{ (hours in a full time schedule)} = \text{2.7 Jobs}$$



Calculating Jobs – Example #2 : Cooperative Agreement/Cost Share

Continue from previous example. Assume \$100 million in total investment of which \$50 million is provided by DOE and \$50 million is private investment.

Step 4:

Calculate DOE share of award.

$$\text{DOE Investment/Total Investment} = \$50\text{M}/\$100\text{M} = 50\%$$

Step 5:

Calculate the FTEs Created or Retained for the Quarter

Multiply the FTEs Created or Retained for the Quarter (calculated in Step 3) by the DOE Share calculated in Step 4.

$$2.7 \text{ Jobs} * 50\% = \mathbf{1.35 \text{ Jobs Created}}$$

Prime Recipient Fields (continued)



Project Information

Field Name	Definition/Guidance	Where can I find it?
Quarterly Activities/Project Description	A description of all significant activities delivered and billed for the reporting period.	Determined by recipient.
Activity Code	<p>For infrastructure projects, select the NAICS code.</p> <p>For all other projects, select the NTEE-NPC code.</p>	<p>Look up tables are available in the OMB Excel Template or</p> <p>NAICS codes: http://www.census.gov/naics, a lookup is also available in the FR.Gov MS Excel template</p> <p>NTEE-NPC codes: Select the one of the following that best fits your project: C01: environmental awards U01: science/technology L03.04: weatherization C05.02: Energy Resources Programs that conserve existing energy resources, ensure efficient use of available energy and develop new energy sources while protecting the quality of the environment; Z99: if none of the above fit</p>

Prime Recipient Fields (continued)



Project Information

Field Name	Definition/Guidance	Where can I find it?
Total Federal Amount of ARRA Expenditure	This should include the DOE share of all work completed as of the end of the reporting period including the amounts of unpaid invoices and accrued cost of work performed but not invoiced.	Recipient systems
Total Federal ARRA Infrastructure Expenditure	Total Federal ARRA Infrastructure expenditure. Note: there is no standard Federal or DOE definition of Infrastructure. Recipients should use their best judgment in determining applicability.	Recipient systems

Prime Recipient Fields (continued)



Project Information (continued)

Field Name	Definition/Guidance	Where can I find it?
Infrastructure Contact Name	To be completed only if applicable	Recipient systems
Infrastructure Contact Email	To be completed only if applicable	Recipient systems
Infrastructure Contact Phone	To be completed only if applicable	Recipient systems
Infrastructure Contact Phone Ext	To be completed only if applicable	Recipient systems
Infrastructure Contact Street Address 1	To be completed only if applicable	Recipient systems
Infrastructure Contact Street Address 2	To be completed only if applicable	Recipient systems
Infrastructure Contact Street Address 3	To be completed only if applicable	Recipient systems
Infrastructure City	To be completed only if applicable	Recipient systems
Infrastructure State	To be completed only if applicable	Recipient systems
Infrastructure ZIP Code +4	To be completed only if applicable Note: do not include hyphen between the 5 digit zip and 4 digit extension	Recipient systems
Infrastructure Purpose and Rationale	If funds are supporting an infrastructure project, then explain why the infrastructure project was funded and how the infrastructure project will help address national, executive, and local priorities.	See grant application, if applicable

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Prime Recipient Fields (continued)



Primary Place of Performance

Field Name	Definition/Guidance	Where can I find it?
Street Address 1	Address information for the primary place of performance	Determined by recipient
Street Address 2	”	Determined by recipient
Street Address 3	”	Determined by recipient
City	”	Determined by recipient
State	”	Determined by recipient
ZIP Code +4	” Note: do not include hyphen between the 5 digit zip and 4 digit extension	Determined by recipient
Congressional District	Two digit code	Congressional District code can be found at: http://www.govtrack.us/congress/find_yourreps.xpd
Country	Two letter country code	Determined by recipient

Prime Recipient Fields (continued)



Recipient Highly Compensated Officers

Field Name	Definition/Guidance	Where can I find it?
Prime Recipient Indication of Reporting Applicability	<p>Recipients must report the top five individuals who received the highest amount of compensation, if <u>all</u> of the following criteria apply, mark Yes, otherwise select No:</p> <ul style="list-style-type: none"> ▪ At least 80% of your revenues were from Federal funds. ▪ Received at least \$25,000,000 in Federal funds. ▪ Senior Executives do not report their compensation publicly via Securities Exchange Commission (SEC) or Internal Revenue Service (IRS) regulations. 	<p>To see more detailed explanation of the criteria, review the April 1, 2009 Federal Register and the Recipient Reporting Data Model v.3</p>
1 Officer Name/Compensation	If yes in above field, include the name and total compensation (salary, bonus, stock awards, etc.) of each officer	Recipient compensation records.
2 Officer Name/Compensation	"	"
3 Officer Name/Compensation	"	"
4 Officer Name/Compensation	"	"
5 Officer Name/Compensation	"	"

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Sub Recipient Fields



Reporting Information

Field Name	Definition/Guidance	Where can I find it?
Award Type	<p>Grant: Award of financial assistance from a Federal agency to a recipient to carry out a public purpose.</p> <p>Loan: A disbursement of funds by the Government to a non-Federal borrower under a contract that requires the repayment of such funds with or without interest.</p>	As indicated on the Prime report
Award Number	The award number assigned to the Prime Recipient by the awarding Federal Agency	On award letter and on DOE website, Federal Reporting Recipient Information
Recipient DUNS Number	The Prime Recipient organization's nine-digit Data Universal Numbering System (DUNS) number or Central Contractor Registration plus 4 extended DUNS number.	On award letter and on DOE website, Federal Reporting Recipient Information

Sub Recipient Fields



Sub Recipient Information

Field Name	Definition/Guidance	Where can I find it?
Sub-Recipient DUNS Number	The sub-recipient organization's nine-digit Data Universal Numbering System (DUNS) number or Central Contractor Registration plus 4 extended DUNS number.	Recipient or sub-Recipient systems
Sub-Recipient Award Number	Identifying number assigned by the Prime Contractor	Recipient systems
Sub-Recipient Congressional District	Two digit code	Congressional District code can be found at: http://www.govtrack.us/congress/find_yourreps.xpd

Sub Recipient Fields (continued)



Sub Award Information

Field Name	Definition/Guidance	Where can I find it?
Amount of Sub-Award	The anticipated total amount of funds to be disbursed to the Sub-Recipient over the life of the award	Recipient systems
Total Sub-Award Funds Disbursed	The cumulative amount of cash disbursed to the sub-recipient as of the reporting period end date	Recipient systems
Sub-Award Date	The date the Sub-Award was signed	Recipient systems

Sub Recipient Place of Performance

Field Name	Definition/Guidance	Where can I find it?
Street Address 1	Address information for the primary place of performance by sub-recipient	Determined by recipient
Street Address 2	"	Determined by recipient
City	"	Determined by recipient
State	"	Determined by recipient
ZIP Code +4	" Note: do not include hyphen between the 5 digit zip and 4 digit extension	Determined by recipient
Congressional District	Two digit code	Congressional District code can be found at: http://www.govtrack.us/congress/find_yourreps.xpd
Country	Two character code	Determined by recipient

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Sub Recipient Fields (continued)



Sub Recipient Highly Compensated Officers

Field Name	Definition/Guidance	Where can I find it?
Sub-Recipient Indication of Reporting Applicability	<p>Recipients must report the top five officers from each sub-recipient who received the highest amount of compensation, if <u>all</u> of the following criteria apply to the sub-recipient, mark Yes, otherwise select No:</p> <ul style="list-style-type: none"> ▪ At least 80% of sub-recipient revenues were from Federal funds. ▪ Received at least \$25,000,000 in Federal funds. ▪ Senior Executives do not report their compensation publicly via Securities Exchange Commission (SEC) or Internal Revenue Service (IRS) regulations. 	<p>To see more detailed explanation of the criteria, review the April 1, 2009 Federal Register and the Recipient Reporting Data Model v.3</p>
1 Officer Name/Compensation	If yes in above field, include the name and total compensation (salary, bonus, stock awards, etc.) of each officer of the sub-recipient	Sub-Recipient
2 Officer Name/Compensation	"	"
3 Officer Name/Compensation	"	"
4 Officer Name/Compensation	"	"
5 Officer Name/Compensation	"	"

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Vendor Fields



Vendor Information

Field Name	Definition/Guidance	Where can I find it?
Award Number	The award number assigned to the Prime Recipient by the awarding Federal Agency	On award letter and on DOE website, Federal Reporting Recipient Information
Sub-Award Number	Award number or other identifying number assigned by the sub-recipient	Determined by recipient
Vendor DUNS Number	The vendor organization's nine-digit Data Universal Numbering System (DUNS) number or Central Contractor Registration plus 4 extended DUNS number. If unavailable report Vendor name and ZIP code	Recipient Systems
Vendor Name	Vendor company name	Recipient Systems

Vendor Fields (cont'd)



Vendor Information

Field Name	Definition/Guidance	Where can I find it?
Vendor HQ ZIP Code +4	The zip code of the vendor's headquarters	Recipient Systems
Product and Services Description	Description of the product and/or services provided by the vendor	Determined by recipient
Payment Amount	The aggregate amount invoiced to the vendor that will be paid with ARRA funds	Recipient Systems



FederalReporting.Gov Copy Forward Function

- FederalReporting.gov has implemented Copy and Copy Forward functionality
 - The “Copy” function is used when copying a report from the current reporting month.
 - The “Copy Forward” function is used when copying a report from the previous reporting month. It is used to link the report to the previous quarter’s report.
- The “Copy Forward” function will be available during the Recipient Reporting Period (the 1st to the 10th of the month following the end of a reporting quarter)
 - Recipients submitting subsequent quarterly reports using the online form should use the Copy Forward function.
 - Recipients using the MS Excel or XML upload reporting options should use the Copy Forward function **ONLY IF** they are changing the award number, order number or DUNS number from the previous report to correct an error.
- “Copy Forward” and the “Change Key” functions cannot be used to correct an incorrect award type. If DOE has asked you to correct the award type, you must submit a new report using the correct award type.



How to Use the “Copy Forward” Function

- Log into FederalReporting.gov
 - Select My Reports-Prime Recipient (or Sub-Recipient) link on the left of the screen
 - Set the Calendar Year and Calendar Month to the previous reporting month and search for the report to be copied. Only reports from the previous reporting month can be copied with the Copy Forward function. Select the correct report and open it.
 - Once the report is opened, click on the “Copy Forward” button to copy the report to the current quarter. Read the pop-up warning message and click on OK to proceed.
 - The Copy Report Forward page is displayed. The “Copy From” box will be auto-populated. In the “Copy To” box, enter the Award Number and Prime DUNS number exactly as they appear in the Copy From box. Select “Yes” in response to “Is this a continuation of a January 2010 report.” Click on “Confirm Copy” button to proceed.
 - The report can now be updated and submitted or can be saved as a draft to be submitted later during the Recipient Reporting period.
- Further guidance on this functionality is available in Chapter 10 of the FederalReporting.gov user guide. (<https://www.federalreporting.gov/federalreporting/downloads.do#docs>)



How to Use the “Change Key” Function

Note: this functionality should only be used when correcting an error to the Award Number, DUNS Number or Order Number.

- Log into FederalReporting.gov
- If submitting a new report, follow the instructions to “Copy Forward’ the report.
- If updating a current report, select “My Reports-Prime Recipient (or Sub-Recipient)” link on the left of the screen. Set the Calendar Year and Calendar Month to the previous reporting month
- Once in the report to be updated, select the “Change Key” button. Read the pop up message and click “OK.” When the “Change To” box appears make the appropriate changes and press “Confirm Change Key.”
- When the business key is changed, the previous report must be deactivated. You will be auto prompted to deactivate it.

- Failure to follow these instructions may result in your ARRA activities being reported to the public incorrectly.
- Further guidance on this functionality is available in Chapter 13 of the FederalReporting.gov user guide. (<https://www.federalreporting.gov/federalreporting/downloads.do#docs>)

Additional Questions?



Please visit the DOE Recovery website

http://www.energy.gov/recovery/ARRA_Reporting_Requirements.htm

or contact the DOE Recovery Act Clearinghouse

The DOE Recovery Act Clearinghouse is available to answer reporting questions by phone at 888-DOE-RCVY (888-363-7289), Monday through Friday, 9 a.m. to 7 p.m. Eastern Time, or via web submittal form at <https://recoveryclearinghouse.energy.gov/contactUs.htm>.

<https://recoveryclearinghouse.energy.gov/contactUs.htm>

1-888-363-7289